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*Booked / Section*

PTO/SB/21 (08-00)

Approval for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	09/714,882
Filing Date	Nov 16, 2000
First Named Inventor	Turner, Jr., C. Alexander
Group Art Unit	1645
Examiner Name	To Be Assigned
Attorney Docket Number	LEX-0091-USA

Total Number of Pages in This Submission 16

## ENCLOSURES (check all that apply)

- |  |   |  |
|--|---|--|
| <input type="checkbox"/> Fee Transmittal Form<br><input type="checkbox"/> Fee Attached<br><input type="checkbox"/> Amendment / Reply<br><input type="checkbox"/> After Final<br><input type="checkbox"/> Affidavits/declaration(s)<br><input checked="" type="checkbox"/> Extension of Time Request<br><input type="checkbox"/> Express Abandonment Request<br><input type="checkbox"/> Information Disclosure Statement<br><input type="checkbox"/> Certified Copy of Priority Document(s)<br><input type="checkbox"/> Response to Missing Parts/ Incomplete Application<br><input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | <input type="checkbox"/> Assignment Papers (for an Application)<br><input type="checkbox"/> Drawing(s)<br><input type="checkbox"/> Licensing-related Papers<br><input type="checkbox"/> Petition<br><input type="checkbox"/> Petition to Convert to a Provisional Application<br><input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address<br><input type="checkbox"/> Terminal Disclaimer<br><input type="checkbox"/> Request for Refund<br><input type="checkbox"/> CD, Number of CD(s) _____ | <input type="checkbox"/> After Allowance Communication to Group<br><input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences<br><input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)<br><input type="checkbox"/> Proprietary Information<br><input type="checkbox"/> Status Letter<br><input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):<br>return postcard<br>Executed Declaration & POA<br>Part 2 of Notice to File Missing Parts<br>Verified Statement concerning Sequence Listing<br>Sequence Listing in Computer Readable Form on Diskette |
|--|---|--|

Remarks 3 sets of Declarations-Powers of Attorney/6 pages total

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Lance K. Ishimoto Reg. No. 41,866 Lexicon Genetics Incorporated
Signature	<i>[Signature]</i>
Date	May 9, 2001

## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231 on this date: May 9, 2001

Typed or printed name	Michelle Klein		
Signature	<i>Michelle Klein</i>	Date	May 9, 2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Turner *et al.*

Application No.: 09/714,882

Filed: November 16, 2000

Group Art Unit:  
1645

Title: Novel Human Notch Ligand Proteins and  
Polynucleotides Encoding the Same

Attorney Docket No.: LEX-0091-USA

**VERIFIED STATEMENT UNDER 37 C.F.R. § 1.821(f)**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

I, Drenda D. Thomas, do declare and state as follows:

1. I prepared a Sequence Listing in paper and computer readable form under 37 C.F.R. § 1.821 - 1.825 in connection with the above-captioned patent application.

2. I hereby state that the contents of the paper and computer readable copies of the Sequence Listing are the same and that the computer readable form being submitted herewith does not include new matter.

5/9/01  
\_\_\_\_\_  
Date

Drenda Thomas  
\_\_\_\_\_  
Drenda D. Thomas



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s):	Turner et al.	
Application No.:	09/714,882	
Filed:	November 16, 2000	Group Art Unit: 1645
Title:	Novel Human Notch Ligand Proteins and Polynucleotides Encoding the Same	Attorney Docket No.: To Be Assigned

**RESPONSE TO NOTICE TO FILE MISSING PARTS  
OF APPLICATION - FILING DATE GRANTED**

Assistant Commissioner for Patents  
Washington, D.C. 20231  
**Attention: Box Missing Parts**

Sir:

In response to the "Notice to File Missing Parts of Application - Filing Date Granted" mailed by the U.S. Patent and Trademark Office on January 10, 2001, Applicants submit the following documents to complete the filing requirements of the above-identified application:

1. Executed Declaration and Power of Attorney; and
2. Return copy of Notice to File Missing Parts of Application - Filing Date Granted;
3. Verified Statement Under 37 CFR § 1.821(f); and
4. Sequence Listing in CRF (diskette)

Applicants also submit herewith the following document for the above-identified application:

5. Petition for Extension of Time of 2 months

The U.S. Patent and Trademark Office is hereby authorized to charge the following fees to Lexicon Genetics Incorporated Deposit Account No. 50-0892:

- |   |          |
|---|----------|
| 1. Statutory basic filing fee   | \$355.00 |
| 2. Surcharge Fee for filing declaration on a date later than the filing date of the application per 37 CFR 1.492(e) | \$65.00  |
| 3. Additional claim fees 37 CFR 1.16(b) - 3 independent claims over 3   | \$120.00 |

**TOTAL** **\$540.00**

4. The Commissioner is hereby authorized to charge any additional fees associated with this paper communication or credit any overpayment to Deposit Account No. 50-0892.

The documents submitted herewith complete the filing of the above patent application. This form is being submitted in duplicate.

Respectfully submitted,

5-9-01

Date

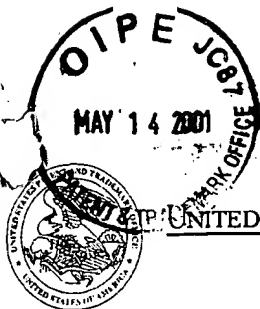


Lance K. Ishimoto

Reg. No. 41,866

LEXICON GENETICS INCORPORATED  
4000 Research Forest Drive  
The Woodlands, TX 77381  
Telephone No.: (281) 863-3333

Enclosures



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/714,882	11/16/2000	C. Alexander Turner, Jr.	LEX-0091-USA

24231  
LEXICON GENETICS INCORPORATED  
4000 RESEARCH FOREST DRIVE  
THE WOODLANDS, TX 77381

## FORMALITIES LETTER



\*OC000000005669038\*

Date Mailed: 01/10/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

## FILED UNDER 37 CFR 1.53(b)

## Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$240.
  - \$240 for 3 independent claims over 3.
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The nucleotide and/or amino acid sequence disclosure contained in this application does not comply with the requirements for such a disclosure as set forth in 37 CFR 1.821 - 1.825 for the following reason (s):
  - A copy of the "Sequence Listing" in computer readable form has not been submitted as required under 37 CFR 1.821(e).

For questions regarding compliance to these requirements, please contact:

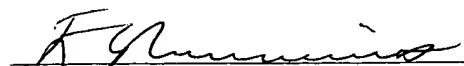
- For Rules Interpretation, call (703) 308-1123
- For CRF Submission Help, call (703) 308-4212
- PatentIn Software Program Support
  - - For Technical Assistance, call (703) 287-0200
  - - To Purchase PatentIn Software, call (703) 306-2600

- The balance due by applicant is \$ 1080.

05/17/2001 HEBREH1 00000036 500892 09714882  
01 FC:201 355.00 CH  
02 FC:202 120.00 CH  
03 FC:205 65.00 CH

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*A copy of this notice MUST be returned with the reply.*

A handwritten signature in dark ink, appearing to read "F. J. [unclear]", is written over a horizontal line.

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE